

School Finance Advisory Committee Meeting

Monday, April 9, 2007

Subject / Name	Issue	Suggestions / Resolution
Minutes Review	No corrections were made to the minutes.	
Record Retention Presentation	<p>Lisa Maxwell from Arizona State Library, Archives and Public Records spoke to the SFAC regarding record retention laws and managing public records. She stated that her office can put files onto microfilm and CD for their customers. However, the official version cannot be on electronic file because they are not sure that the electronic form will be around in the future, but they know that microfilm will be.</p> <p>Only permanent records have to be kept on microfilm or paper, other items can be stored in other formats, such as electronically. Records that are created electronically can be saved electronically.</p> <p>The four criteria for keeping a record is its legal value, fiscal value, administrative value or its historical value.</p> <p><i>Please see attached PowerPoint for more information on records retention.</i></p>	
12 vs. 10 APOR Payments	Bonnie wasn't able to get to this.	<ul style="list-style-type: none"> Bonnie will get Jill the information on how much the state gains in interest from not making district payments in August and November and Jill will send it out to the SFAC by email when she receives it from Bonnie.
Dollar Figure on Removing Absence Approval	Bonnie wasn't able to get to this.	<ul style="list-style-type: none"> Bonnie will follow up and get a dollar figure on removing the absence approval. Jill will email this information to the SFAC when she receives it from Bonnie.
December Budget Revision – technical correction of <\$1000	Lyle sent it to George Zigler and Chuck Essigs and spoke briefly to Art about it.	<ul style="list-style-type: none"> Jill will check with George on the possible AASBO bill. Lyle will check with Art to see if it will be on the Superintendent's agenda.

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Request for Revised Student Enrollment and Withdrawal Forms	<p>Karen explained that there is an audit requirement that schools post the enrollment and withdrawals of students within 5 days of the actual event. Their auditors are testing this by looking for the input date and initials of the input clerk on the enrollment and/or withdrawal form. Karen, and other LEAs, use the standard enrollment and withdrawal forms issued by the state. She would like state form revised to include a space for initial and date as a reminder to the data entry employee to include this information to help alleviate any audit write-ups.</p> <p>Bob noted that Janice McGoldrick edited the withdrawal document in the past. He also noted that the state does not have a standard enrollment form.</p> <p>In addition to getting the state form updated, Bob, Lyle and Phil will work on and address that the policy/procedure be updated to change the USFR questionnaire with the auditor general. (ARS 15-827)</p>	<ul style="list-style-type: none"> • Bob, Lyle and Phil will address that the policy/procedure be updated to change the USFR questionnaire with the auditor general. (ARS 15-827) • Phil will bring forth any change in the withdrawal form initial and dating policy/procedure to the SFAC.
Budget Letters from ADE SAIS Accuracy and Timeliness	<p>Karen explained that she receives a ‘strong’ letter from School Finance that leads her board to believe that they are out of compliance with their budget, even though they are not. She asked if School Finance can send out a second letter to let her board know that the budget revisions were made. Karen would like either a ‘nice’ letter or no letter at all. Statute [A.R.S. § 15-905 (L)] only states that over expenditure letters be sent out. The issue is that it went to the governing board this year for the first time.</p>	<ul style="list-style-type: none"> • Bonnie will look into sending out the first letter to only those LEAs that are over-expended.
SDDI/SAIS Downtime	<p>LEAs are concerned about the extra SAIS/SDDI downtime this year over other years. They are concerned that they will not meet their 20 day uploading deadline. Bob noted that part of the issue is possibly that the integrity queue has been taking longer; however, School Finance does not know why. It is a data processing issue, which IT oversees. School Finance constantly finds ways to speed up performance and keep the system open.</p>	<ul style="list-style-type: none"> • Karen will address a letter to Phil to discuss their concern with SAIS/SDDI downtime; other districts and charters are asked to do a similar letter.
Call to Audience	<p>George from Mesa submitted a handout that would help the LEAs with data issues which are requests for changes in ADM reports.</p> <p><i>Attached is the document that George presented.</i></p>	
Next Meeting	Monday, June 11 2007	Arizona State Capitol Executive Tower Building 2nd Floor Conference Room 1700 West Washington Phoenix, AZ 85007

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Action Items / Commitments	
Jill Heikkila	<ul style="list-style-type: none"> Bonnie will get Jill the information on how much the state gains in interest from not making district payments in August and November and Jill will send it out to the SFAC by email when she receives it from Bonnie. Bonnie will follow up and get a dollar figure on removing the absence approval. Jill will email this information to the SFAC when she receives it from Bonnie. Jill will check with George on the possible AASBO bill.
Karen Havird	<ul style="list-style-type: none"> Karen will address a letter to Phil to discuss the LEA concern with SAIS/SDDI downtime, as well as other districts and charters. Bob recommended that the letters address specifics such as number of days the system was down.
Phil Williams	<ul style="list-style-type: none"> Phil will bring forth any change in the withdrawal form initial and dating policy/procedure to the SFAC.
Bonnie Betz	<ul style="list-style-type: none"> Bonnie will get Jill the information on how much the state gains in interest from not making district payments in August and November and Jill will send it out to the SFAC by email when she receives it from Bonnie. Bonnie will follow up and get a dollar figure on removing the absence approval. Jill will email this information to the SFAC when she receives it from Bonnie. Bonnie will look into sending out the first letter to only those LEAs that are over-expended.
Lyle Friesen	<ul style="list-style-type: none"> Lyle will check with Art to see if the \$1000 budget limit correction will be on the Superintendent's agenda.
Education Attendance Legislation Subcommittee	<ul style="list-style-type: none"> The committee decided to continue the subcommittee and proceed with removal of the absence approval process.
Bob Dohm, Lyle Friesen & Phil Williams	<ul style="list-style-type: none"> Bob, Lyle and Phil will address that the policy/procedure be updated to change the USFR questionnaire with the auditor general. (ARS 15-827)
Rita Leyva and Pat Beatty	<ul style="list-style-type: none"> Send an estimate of their cost for absence approval process to Jill.

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Members in Attendance

Members			ADE Staff
Gary Bae	Karen L. Havird	Tina Norton	Bonnie Betz
Patricia Beatty	Rita Leyva	Kevin Price	Bob Dohm
Dan Bigler	Nancy McFarland	Suzanne Rassi	Lyle Friesen
Lori Garvey	Karen Mejia	George Zeigler	Jill Heikkila
Angela Germinaro	Montie Morris		Phil Williams
Special Guest: Senator John Huppenthal (Majority Whip)			

Acronyms

AASBO	Arizona Association of School Business Officials	M&O	Maintenance and Operation Fund
ADE	Arizona Department of Education	NAVIT	Northern Arizona Vocation Institute of Technology
ADM	Average Daily Membership	RTC	Regional Training Center
AFR	Annual Financial Reports	SAN	Storage Area Network
AG	Auditor General	SDAR	Student Detail Activity Report
CCD	Common Core Data	SDER	School District Employee Report
CEC	Certificate of Education Convenience	SF	School Finance
CSF	Classroom Site Fund	SFAC	School Finance Advisory Committee
EVIT	East Valley Institute of Technology	SFB	School Finance Board
IRR	Instructions for Required Reports	SMS	Student Management System
JTED	Joint Technological Education District	USFR	Uniform System of Financial Records
LEA	Local Education Agency		



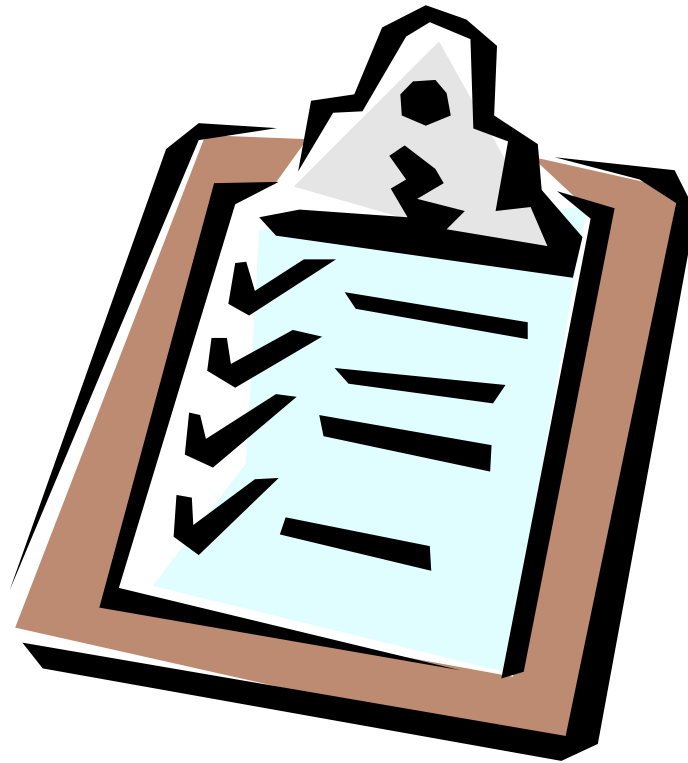
Arizona Public Records Laws

Presented by: Lisa Maxwell

Records Management Division
Arizona State Library, Archives and Public Records

Agenda

- Introduction
- Discussion of Laws
- Resources



Background Information

Arizona State Library, Archives and Public Records



Retention of Records

Records shall not be destroyed or otherwise disposed of by any agency of the state, unless it is determined by the state library that the record has no further administrative, legal, fiscal, research or historical value.

ARS 41-1347(B)



Arizona Public Records Laws



Ownership of Records

All records made or received by public officials or employees of this state in the course of their public duties are the property of the state. *ARS 41-1347(A)*



Inspection of Public Records

Public records and other matters in the custody of any officer shall be open to inspection by any person at all times during office hours. *ARS 39-121*





What is a Public Record?

“Records” means all books, papers, maps, photographs, or other documentary materials, **regardless of physical form or characteristics** ... made or received by any governmental agency in pursuance of law or in the transaction of public business. *ARS 41-1350*

Not Public Records

- Library or museum materials used for reference or exhibitions
- Extra copies kept only for convenience
- Stock of Publications for sale or distribution

ARS 41-1350





Accountability

All officers and public bodies shall maintain all records ... reasonably necessary or appropriate to maintain an accurate knowledge of their official activities and of any of their activities which are supported by monies from the state of any political subdivision of the state. *ARS 39-121.01(B)*



Accountability contd.

Make and maintain records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency designed to furnish information to protect the rights of the state and of persons directly affected by the agency's activities. *ARS 41-1346(A)(2)*

Responsibilities

Preservation, maintenance and care of
that body's public records *ARS 39-121.01(C)*





Preservation

- Carefully secure records
- Protect and preserve records from deterioration, mutilation, and loss or destruction

ARS 39-121.01(C)

ARS 41-1347(A)

Security Breach

When a person that conducts business in this state and that owns or licenses unencrypted computerized data that includes personal information becomes aware of an incident of unauthorized acquisition and access to unencrypted or unredacted computerized data that includes an individual's personal information, the person shall conduct a reasonable investigation to promptly determine if there has been a breach of the security system. If the investigation results in a determination that there has been a breach in the security system, the person shall notify the individuals affected.

ARS 44-7501





Maintenance

Establish and maintain and active, continuing program for the economical and efficient management of the public records of the agency.

ARS 41-1346(A)(1)

Records Coordinator

Designate an individual within the agency to manage the records management program of the agency



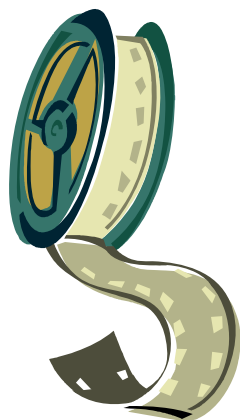
- Be at a level of management sufficient to direct the records management program in a efficient and effective manner
- Be a liaison with ASLAPR

ARS 41-1346(A)(7)

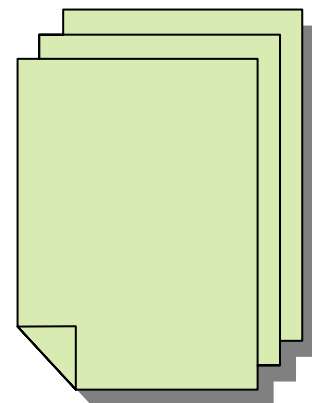
Permanent Records

Shall be transcribed or kept on paper or other material which is of durable or permanent quality and which conforms to standards established by the director of the Arizona State Library, Archives and Public Records

ARS 39-101

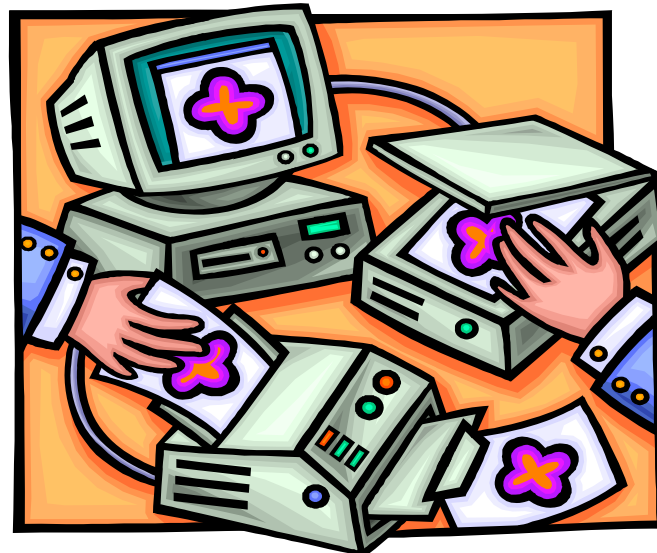


- Acid free paper
- Microfilm



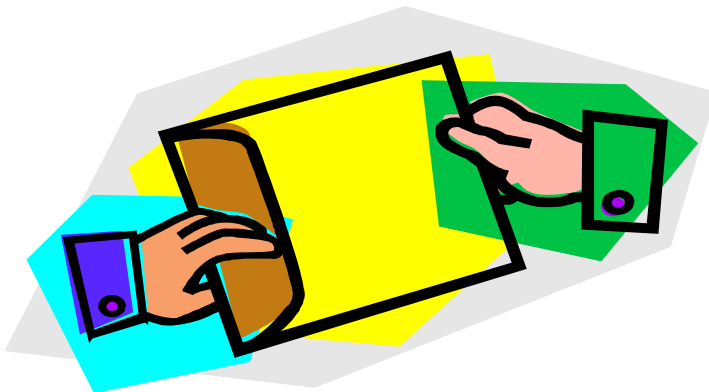
Scanning Records

The agency, prior to the institution of any such program of production or reproduction, shall obtain approval from the director (of ASLAPR) *ARS 41-1348(A)*



Public Records Requests

- Records must be available for examination or copying during regular business hours
- Records shall be **promptly** furnished
- May require payment in advance for copying and postage charges



ARS 39-121



Denying Access

- Statutorily confidential or privileged
 - Family Educational Rights and Privacy Act (FERPA)
 - Health Insurance Portability and Accountability Act (HIPAA)
- Records sealed by Court Order
 - Always comply with Court Orders
- Correspondence with attorney
 - Attorney–client privilege



Denying Access contd.

- Right to privacy
 - Disclosure would invade privacy and that interest outweighs the public's right to know
- Best interests of the State
 - Seriously impair performance of duties

Destruction of Records

- An entity shall not knowingly discard or dispose of records or documents without redacting the information or destroying the records or documents if the records or documents contain an individual's first and last name or first initial and last name in combination with a corresponding complete:
 - ☐ Social security number.
 - ☐ Credit card, charge card or debit card number.
 - ☐ Retirement account number.
 - ☐ Savings, checking or securities entitlement account number.
 - ☐ Driver license number or nonoperating identification license number.

ARS 44-7601

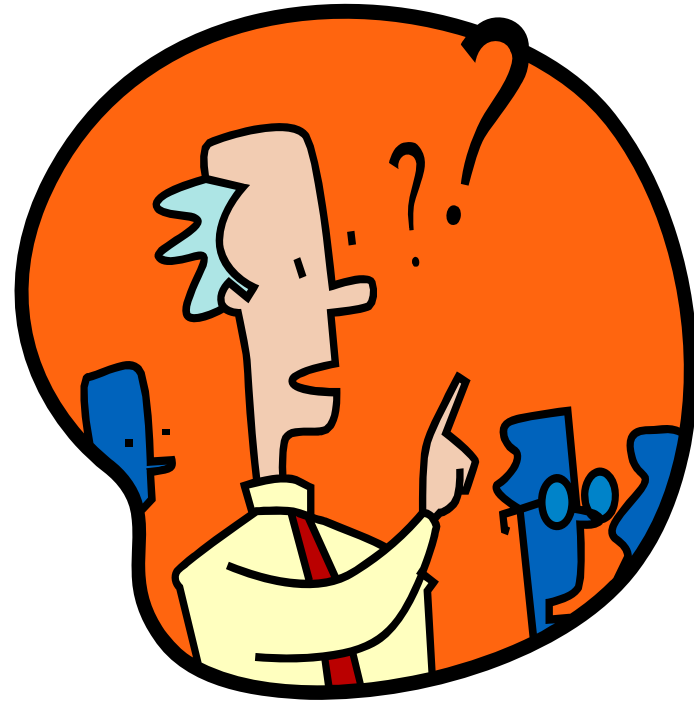


Available Resources

- Records Management Division
602-532-3741
www.lib.az.us
- Attorney General's Office
www.ag.state.az.us
- Ombudsman's Office
www.azoca.gov



Questions?



REQUESTS FOR CHANGES IN ADM REPORTING
FROM MESA UNIFIED SCHOOL DISTRICT #4

April 9, 2007

- * Make the 45-1 report downloadable in some other format besides .pdf. This would make it much easier to reconcile to our internal reports.
- * Create a condensed version of the ADMS45-1 report, showing totals by school (summarizing all grades into one total); report would have 3 lines: 1st-40th, 41st-100th, and a 1st-100th line (similar to what it has now). Currently, it takes at least 10 pages to show counts for each school. The entire district report is 965 pages long. Maybe this report could be called ADMS45-3.
- * Create a report, or section of one of the reports, that reconciles the differences between the ADMS45-1 and ADMS46-1 reports. Perhaps call it ADMS45-4.
- * Run the Districts' 40th and 100th day ADMS reports after the first school in a District reaches the 40th and 100th days versus the current practice of waiting for all of the schools in a District to reach those measurement dates. Include a footnote disclosing that there are some schools that have not reached those dates, so the ADM for the District is understated. The calculations should include the membership days for all schools, even those that have not reached the 40th and 100th days. This will allow Districts to compare this data to their internal reports and give ADE an earlier and more accurate estimate of what the overall state's ADM is going to be. Janice McGoldrick, ADE's Chief Information Officer, agreed that this was a good idea on March 29, 2007.
- * Create a "data dump", in a delimited text file format, of the entire student ADA/ADM, membership, etc. detail data, so Districts can import the detail data and sort it for comparison to the Districts' internal files in analyzing differences between ADE's and the Districts' records.